

03/30/00



JC912 U.S. PTO

Khai Hee Kwan  
1 Roma Ave  
Kensington NSW 2033  
Australia



Assistant Commissioner for Patents  
Box Patent Application  
Washington DC 20231  
USA

Dear Sir,

**NON-PROVISIONAL APPLICATION**

The application number (not known)  
The filing date of the application (not known)

The Title of the Invention:

**Computer System and method for conducting an electronic financial asset deposit auction over computer network**

The Name of the Inventor: Khai Hee Kwan  
Customer Number : 23336

The Title and number of pages of each PTO forms

PTO/SB/05	1 Page (1 original)
PTO/SB/17	1 Page (2 original)
PTO/SB/01	2 Pages (1 original)
PTO/SB/09	1 Page (1 original)

Please confirm all are as stated above.

The number of pages of specification (excluding claims): 27 Pages

The number of claims and the number of claims pages: 14 Claims and 14 Pages

The number of Figures f drawings: 3 Figures

The number of sheets of drawings: 3 Sheets

The amount of payment is USD 510 and the method of payment is by Bank Draft with details are below:

*National Bank 2372 098508*  
NOTE: This same application was sent as an provisional on the 3 March to your office. Subsequently I wanted to make it a Full Patent Application. In this regard, I have paid the claims cost in the provisional application as well. As I am not sure what has happened to my first application, I enclosed the full amount here again including the cost of claims. Please revert any excess to me. My apology for the confusion.

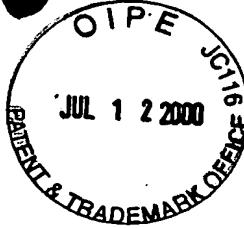
Thanks and regards

Khai Hee Kwan

30 March, 2000

H  
03/30/00  
JC912 U.S. PTO  
**09/560530**

Khai Hee Kwan  
1 Roma Ave  
Kensington  
NSW 2033  
Australia



2 July 2000

Sector 8  
H

Initial Patent Examination Division  
Commissioner of Patent and Trademarks  
Washington, DC 20231  
USA

Dear Sir

RE: Your reference Notice to File Missing Parts of Non-Provisional Application

I refer to the above and have attached the balance due US <sup>210</sup> ~~205~~ and a small entity statement for Application 09/534,233

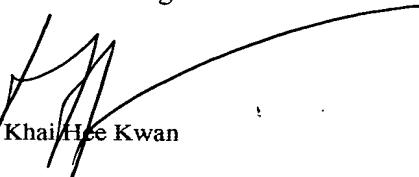
At the same time, I would like to point out that despite repeated clarification, I have yet been able to clear the confusion that Application Number 09/534,233 and Application 09/560,530 are the same application in form and substance. I have already paid in full for Application 09/560,530 and even got a refund for over paying of US 130 which was processed by Diane Floyd 703-308-9455 (cheque number 2049-54976544). The confusion aroused because initially I wanted to put in a provisional application ie 09/543,233 and hence I paid only US 214. However it was construed as an non-provisional application and hence the requirement of paying the balance of US <sup>210</sup> ~~205~~ above. I have been sending faxes to your dept to seek clarification on this in April but received only information packages as responses. What I am requesting now is to have only one application ie 09/534,233 in good standing.

I have informed Downey, Terry in your systems dept through email and I understand this situation is being cleared up. ( I am trying to get your digital certificate so I can get in contact directly with your dept)

Secondly, I would like to refer to another application " System and method for conducting love matching auction over computer network". (A provisional application)

I have not heard from your dept concerning this application. I have paid about US <sup>210</sup> ~~205~~. At that time, I was not sure whether I should include payment for the claims as well so I included them on top of the US 75. According to my information from my bank, the cheque has been cleared. This is also indicated by the receipt issued against my other patent application titled " Method, apparatus and program to make secure payment in any currencies through a communication network system using pre-paid cards." which is a continuation of a previous application of the same name. Both applications were in the same envelope. Note, I have put both applications in the same P.O.BOX where I have marked one intended for provisional and the other non-provisional. The latter non-provisional (..pre-paid cards) has already been acknowledged since early March this year. Please let me know what has happened to the provisional one ?

Thanks and regards.

  
Khai Hee Kwan

Customer Number: 23336

Enc: Your Notice to File missing parts, Cheque for US <sup>210</sup> ~~205~~, Small Entity Statement and my receipt for Application 09/560530

Email: KHKEEWAAN@yahoo.com

<sup>210</sup>  
My apology here, the bank teller  
put 210 rather than 205.  
A small miscommunication.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(b))--INDEPENDENT INVENTOR**

Docket Number (Optional)

Applicant, Pattee, or Identifier: 23336Application or Patent No.: 09/534,233Filed or Issued: 03/24/2000Title: Computer System and Method for Conducting an electronic financial asset deposit auction over computer network

As a below named inventor, I hereby state that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees to the Patent and Trademark Office described in:

- the specification filed herewith with title as listed above.  
 the application identified above.  
 the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- No such person, concern, or organization exists.  
 Each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

Khai Hee Kwan

NAME OF INVENTOR

HJK  
Signature of inventor3 July 2000  
Date

NAME OF INVENTOR

Signature of inventor

Date

NAME OF INVENTOR

Signature of inventor

Date

## FORMALITIES LETTER

  
\*OC00000005143781\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/534,233	03/24/2000	Khai Hee Kwan	

23336  
KHAI HEE KWAN  
1 ROMA AVENUE  
KENSINGTON  
SYDNEY, 2033  
AUSTRALIA

Date Mailed: 05/26/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

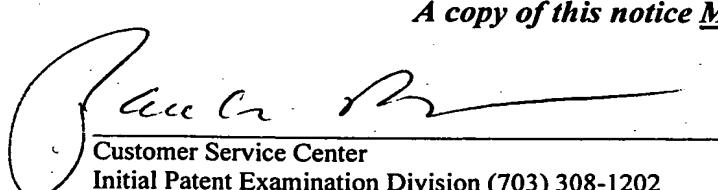
## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is insufficient.  
*Applicant must submit \$ 101 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$39.
  - \$39 for 1 independent claims over 3.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 205.**

*A copy of this notice **MUST** be returned with the reply.*



Customer Service Center

Initial Patent Examination Division (703) 308-1202

## PART 2 - COPY TO BE RETURNED WITH RESPONSE

07/14/2000 GTEFFERA 00000014 09534233

01 FC:201	101.00 0P
02 FC:202	39.00 0P
03 FC:205	65.00 0P
04 FC:998	5.00 0P